

P20277.P01

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	P20277	Total Pages	
Inventor(s) or Application Identifier	Wataru KUBO		
Title:	OBJECTIVE LENS FOR OPTICAL PICK-UP		

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

**APPLICATION ELEMENTS**

- Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
  - a.  Small Entity Statement(s)
- Specification [Total Pages 27]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 USC 113) [Total Sheets 15]
- Oath or Declaration [Total Pages 3]
  - a.  Newly executed (original or copy)  Unexecuted
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 20 completed)  
[Note Box 6 below]
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Incorporation By Reference (useable if Box 5b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- Application Data Sheet. See 37 CFR 1.76
- CD-Rom or CD-R in duplicate, large table or Computer Program (*Appendix*)

**ACCOMPANYING APPLICATION PARTS**

9. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies
10.  Assignment Papers (cover sheet & document(s))
11.  37 CFR 3.73(b) Statement (when there is an assignee)  Power of Attorney
12.  English Translation Document (if applicable)
13.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
14.  Preliminary Amendment
15.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
16.  Figure of Drawing to be published 1
17.  Foreign priority claimed
  - a.  Claim of Priority
  - b.  Certified Copy of Priority Document(s)
18.  Assignee: ASAHI KOGAKU KOGYO KABUSHIKI KAISHA of Tokyo, JAPAN
19.  Other: Cover Letter Regarding Executed Application  


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## 20. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation  Divisional  Continuation-in-part (CIP) of prior Application No. \_\_\_\_\_, filed \_\_\_\_\_  
*Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_*

21.  Amend the specification by inserting before the first line the sentence:  
 This application is a \_\_\_\_\_ continuation-in-part, \_\_\_\_\_ continuation, \_\_\_\_\_ divisional, of Application No. \_\_\_\_\_, filed \_\_\_\_\_

Address all future correspondence to Customer No. 7055 at the present address of:

GREENBLUM &amp; BERNSTEIN, P.L.C.

1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

2/7/01

Date

*Bruce H. Bernstein Reg No. 29,027*  
Signature *33,329*

Bruce H. Bernstein, Reg No. 29,027  
Typed or Printed Name

**FEE TRANSMITTAL****Complete if Known**

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	W. KUBO
Group Art Unit	Unassigned
Examiner Name	Unassigned

**TOTAL AMOUNT OF PAYMENT** (\$750.00)

Attorney Docket Number P20277

**METHOD OF PAYMENT** (check one)**FEE CALCULATION** (continued)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089Deposit Account Name GREENBLUM & BERNSTEIN,  
P.L.C.

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

Applicant Claims Small Entity Status See 37 CFR 1.27.

2.  Payment Enclosed:
 Check  Credit Card  Money Order  Other
**FEE CALCULATION** (fees effective 12/29/99)**FILING FEE**

Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355 Utility filing fee	<u>710</u>
106	320	206	160 Design filing fee	<u>  </u>
107	490	207	245 Plant filing fee	<u>  </u>
108	710	208	355 Reissue filing fee	<u>  </u>
114	150	214	75 Provisional filing fee	<u>  </u>

**SUBTOTAL (1) (\$)** 710**CLAIMS**

Total Claims	-20=	Extra	Fee from below	=	Fee Paid
5	-20=	0	x 18	=	<u>0</u>
Independent	-3=	0	x 80	=	<u>0</u>
Claims					
Multiple Dependent Claims		x		=	<u>0</u>

Large Entity Fee Code (\$)	Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103	18	203	9 Claims in excess of 20	<u>  </u>
102	80	202	40 Independent claims in excess of 3	<u>  </u>
104	270	204	135 Multiple dependent claim	<u>  </u>
109	80	209	40 Reissue independent claims over original patent	<u>  </u>
110	18	210	9 Reissue claims in excess of 20 and over original patent	<u>  </u>

**SUBTOTAL (2) (\$)** 0.00**3. ADDITIONAL FEES**

Large Fee Code (\$)	Entity Fee Code (\$)	Small Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	<u>  </u>	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	<u>  </u>	
139	130	139	130 Non-English specification	<u>  </u>	
147	2,520	147	2,520 For filing a request for reexamination	<u>  </u>	
112	920*	112	920* Requesting publication of SIR Prior to Examiner action	<u>  </u>	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	<u>  </u>	
115	110	215	55 Extension for response within 1st month	<u>  </u>	
116	390	216	195 Extension for response within 2nd month	<u>  </u>	
117	890	217	445 Extension for response within 3rd month	<u>  </u>	
118	1,390	218	695 Extension for response within 4th month	<u>  </u>	
128	1,890	228	945 Extension for response within 5th month	<u>  </u>	
119	310	219	155 Notice of Appeal	<u>  </u>	
120	310	220	155 Filing a brief in support of an appeal	<u>  </u>	
121	270	221	135 Request for oral hearing	<u>  </u>	
138	1,510	138	1,510 Petition to institute a public use proceeding	<u>  </u>	
140	110	240	55 Petition to revive unavoidably abandoned application	<u>  </u>	
141	1,240	241	620 Petition to revive unintentionally abandoned application	<u>  </u>	
142	1,240	242	620 Utility issue fee (or reissue)	<u>  </u>	
143	440	243	220 Design issue fee	<u>  </u>	
144	600	244	300 Plant issue fee	<u>  </u>	
122	130	122	130 Petitions to the Commissioner	<u>  </u>	
123	50	123	50 Petitions related to provisional applications	<u>  </u>	
126	240	126	240 Submission of IDS	<u>  </u>	
581	40	581	40 Recording each patent assignment per property (times number of properties)	<u>40</u>	
146	710	246	355 Filing a submission after final rejection (37 CFR 1.129(a))	<u>  </u>	
149	710	249	355 For each additional invention to be examined (37 CFR 1.129(b))	<u>  </u>	
179	710	279	355 Request for Continued Examination (RCE)	<u>  </u>	
169	900	169	900 Request for expedited examination of a design application	<u>  </u>	
				<b>SUBTOTAL (3) (\$)</b> <u>40</u>	

\*Reduced by Basic Filing Fee paid

**SUBMITTED BY**

Complete (if applicable)

Typed or Printed Name	Bruce H. Bernstein	Reg. Number	29,027
Signature	<i>Kathy H. Bernstein Reg. No.</i>	Date	2/1/01

333291



**PATENT APPLICATION**  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Wataru KUBO

Applications Branch

Appln. No.: Not yet assigned

Filed: Concurrently herewith

For: OBJECTIVE LENS FOR OPTICAL PICK-UP

**COVER LETTER REGARDING EXECUTED APPLICATION**

Commissioner of Patents and Trademarks

Washington, D.C. 20231

Sir:

The undersigned points out that the executed application being filed herewith includes pages 1 - 3 of the executed declaration which were forwarded to the undersigned by facsimile by Applicant's Japanese representative on February 6, 2001, and pages 1 - 27 of the specification (with Figures 1 - 23C) which were earlier forwarded to the undersigned by facsimile by Applicant's Japanese representative on February 5, 2001. Further, the undersigned has been advised by the Japanese representative that the inventors had reviewed the identical application before executing the declaration.

Accordingly, Applicant respectfully submits that the present application is properly executed and should be considered as filed in executed form. However, if the U.S. Patent and Trademark Office determines that the present application is not properly executed,

PZ0277.A01

Applicant respectfully requests that the present application be treated as an unexecuted application under 37 C.F.R. 1.53(f).

Should there be any questions regarding this paper, please contact the undersigned at the below listed number.

Respectfully submitted,  
Wataru KUBO

*Bruce H. Bernstein* Reg. No.  
Bruce H. Bernstein  
Reg. No. 29,027

February 6, 2001  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, Virginia 20191  
(703) 716-1191